

Chapter 15

Public Libraries **General Retention Financial Schedule**

Please note the general retention financial schedule is being reviewed and is likely to change.

All public libraries in Indiana must follow the same general retention financial schedule.

Any records not on the approved list cannot be destroyed without the permission of the County Commission on Public Records and the Indiana State Archives, Indiana Commission on Public Records.

Included in this chapter is a printout of Chapter 6 of the State Board of Accounts Library Manual, pages 5 through 12 with an explanation of the preservation and destruction of public records, as well as the actual retention schedule. Each of the two links on this page lead to the SBOA Library Manual, as well.

State Board of Accounts Library Manual

<http://www.in.gov/sboa/2802.htm>

Retention and Financial schedule Chapter 6

<http://www.in.gov/sboa/files/Libra06.pdf>

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PRESERVATION AND DESTRUCTION OF PUBLIC RECORDS

Policy

The governing board is charged with the duty to preserve, keep, maintain, or file all the official records of the political subdivision pursuant to IC 5-15-1-1. The final decision as to the destruction or disposition of such records rests with the local public records commission. A local public records commission is established in each county pursuant to IC 5-15-6-1.

IC 5-15-6-3(f) concerning destruction of public records, states in part: "Original records may be disposed of only with the approval of the commission according to guidelines established by the commission."

Definition of Public Record

A public record is defined as all documentation of the informational, communicative or decision-making processes of the political subdivision in connection with the transaction of public business or governmental functions, which documentation is created, received, retained, maintained, or filed by the political subdivision as evidence of its activities or because of the information value of the data in the documentation, and which is generated on paper or paper substitutes; photographic or chemically based media; magnetic or machine readable media; or any other materials, regardless of form or characteristics. [IC 5-15-5.1-1]

For purposes of IC 5-15-6, the terms "public record" or "record" refer to local government documentation. [IC 5-15-6-1.5]

County Public Records Commission

IC 5-15-6-1 creates in each county a commission known as the "County Commission of Public Records of _____ County." IC 5-15-6-2 sets out the duties and responsibilities of the commission. It is the duty of the commission to determine the following:

1. Which public records, if any, are no longer of official or historical value.
2. Which public records are of current official value and should be retained in the office where they are required to be filed.
3. Which public records are of official value but are consulted and used so infrequently that they are no longer of appreciable value to the officer with whom they are required to be filed.
4. Which public records are of no apparent official value, but which do have historical value.
5. Adopt and implement retention schedules for use by local governmental officials as part of a records management program for local government public records at the first meeting of the county commission after the commission receives a retention schedule for the local government approved by the oversight committee on public records as established by IC 5-15-5.1-18.

The following officers make up the commission:

1. Judge of the Circuit Court (Ex Officio);
2. President of the Board of County Commissioners;

3. County Auditor;
4. Clerk of the Circuit Court (Secretary);
5. County Recorder;
6. Superintendent of Schools of the school district in which county seat city is located.
7. City Controller or Clerk-Treasurer of the county seat city or town.

Suggested Procedures

As a starting point for disposing of old records, an inventory of the office and the storerooms should be taken. The inventory should list the type of record and the year such record was made.

After the inventory is completed and a decision is made as to the records to be destroyed, a request and approval for destruction of records should be submitted to the County Commission of Public Records of the county in which the public agency is located.

A pamphlet entitled "Guide for Preservation and Destruction of Local Public Records" published by the State Commission on Public Records will be furnished to any official upon request. You should carefully review this publication and comply with the instructions therein when considering the destruction of any records.

The State Commission has furnished each Clerk of the Circuit Court, who serves as secretary of the County Commission of Public Records, a supply of this publication and a supply of Form PR1 entitled "Request for Permission to Destroy and Transfer Certain Public Records" to be used by local officials in submitting requests to the County Commissions.

Removal of Records - Time Restriction

IC 5-15-6-3 concerning the removal and destruction of records states:

- a. As used in this section, "original records" includes the optical image of a check or deposit document when:
 1. The check or deposit document is recorded, copied, or reproduced by an optical imaging process described in subsection (e); and
 2. The drawer of the check receives an optical image of the check after the check is processed for payment or the depositor receives an optical image of the deposit document after the document has been processed for the deposit.
- b. All public records which, in the judgment of the commission, have no official or historical value, and which occupy space to no purpose in the offices and storerooms of the local government of a county, shall be destroyed or otherwise disposed of. Except as provided in this section, such records shall not be destroyed until a period of at least three (3) years shall have elapsed from the time when the records were originally filed, and no public records shall be destroyed within a period of three (3) years if the law provides that they shall be kept for a longer period of time, or if the law prohibits their destruction.

- c. Subject to this section, records may be destroyed before three (3) years elapse after the date when the records were originally filed if the destruction is according to an approved retention schedule.
- d. No financial records or records relating thereto shall be destroyed until the earlier of the following actions:
 - 1. The audit of the records by the State Board of Accounts has been completed, report filed, and any exceptions set out in the report satisfied.
 - 2. The financial record or records have been copied or reproduced as described in subsection (e).
- e. As used in this section, "public records" or "records" includes records that have been recorded, copied, or reproduced by a photographic, photostatic, miniature photographic, or optical imaging process that correctly, accurately, and permanently copies, reproduces, or forms a medium for copying or reproducing the original record on a film or other durable material. Original records may be disposed of in accordance with subsection (f), if the record has been copied or reproduced as described in this subsection. The copy must be treated as an original. Copies, recreations, or reproductions made from an optical image of a public record described in this subsection shall be received as evidence in any court in which the original record could have been introduced, if the recreations, copies, or reproductions are properly certified as to authenticity and accuracy by an official custodian of the records.
- f. Original records may be disposed of only with the approval of the commission according to guidelines established by the commission. However, the guidelines established by the commission concerning the disposal of financial records must be approved by the State Board of Accounts before the guidelines become effective.

The decision as to the disposition or destruction of any record rests entirely upon the commission; however, there are certain records which appear to be sufficient value to require that they be retained permanently, and there are other records which should not be disposed of for a period of longer than three (3) years, due to limitations imposed under other statutes. Among these records are:

Retained Permanently

All minutes due to their historical value and their value in determining titles of property, appointments, etc.

Ledgers of Receipts and Disbursements as permanent financial records.

Bond Records, as evidence of indebtedness and payment.

Retained for Longer Periods Than Three (3) Years

All contracts, claims and paid warrants for minimum of six (6) years due to statute of limitations in civil actions. [IC 34-1-2-1 and IC 34-1-2-2]

Public Records Retention - Audit

IC 5-15-6-3(f) concerning destruction of public records, states in part: "Original records may be disposed of only with the approval of the commission according to guidelines established by the commission."

Supporting documentation such as receipts, canceled checks, tickets, invoices, bills, contracts, and other public records must be available for audit to provide supporting information for the validity and accountability of monies disbursed. Payments without supporting documentation may be the personal obligation of the responsible official or employee.

Order to Destroy Public Records

A copy of any order to destroy public records shall be delivered to the State Archivist, Indiana State Library, any active genealogical society of the county and any active historical society of the county not later than sixty days before the destruction date accompanied by a written statement that they may procure such records at their own expense subject to the provisions enumerated in the law. [IC 5-15-6-7]

Penalty

A public official or other person who recklessly, knowingly, or intentionally destroys or damages any public record commits a Class D felony unless:

1. The commission shall have given its approval in writing that public records may be destroyed;
2. The commission shall have entered its approval for destruction of the public records on its own minutes; or
3. Authority for destruction of the records is granted by an approved retention schedule. [IC 5-15-6-8]

Public Records Go With the Office

Sometimes it is reported that when an official is replaced by reason of death, resignation, appointment, or election, the records are being withheld from the successor until they are audited.

When an official assumes custody of an office many of the forms and records are continuous. Each official's acts are a matter of record. An official is not responsible for the acts of his successor and a successor is not responsible for the acts of his predecessor.

Regardless of the capacity served by an official, upon completion of his service, all records and forms are to be surrendered to his successor.

Supporting documentation such as receipts, canceled checks, tickets invoices, bills, contracts, and other public records must be available for audit to provide supporting information for the validity and accountability of monies disbursed. Payments without supporting documentation may be the personal obligation of the responsible official or employee.

Transaction Recording

All financial transactions pertaining to the governmental unit should be recorded in the records of the governmental unit.

Timely Record keeping

All documents and entries to records should be done in a timely manner to ensure that accurate financial information is available to allow the governmental unit to make informed management decisions and to help ensure compliance with IC 5-15-1-1 et seq., commonly referred to as the Public Records Law.

RETENTION SCHEDULES

The State's Oversight Committee on Public Records has approved retention schedules for Library financial records. The schedules list prescribed forms and the length of time each form is required to be kept.

IC 5-15-6-2.5 requires each local County Commission on Public Records to adopt such retention schedules at the first meeting of the County Commission following receipt of the schedules from the State Oversight Committee.

Once the retention schedules are adopted, records may be destroyed in accordance with the schedules and without permission of the local County Commission. However, libraries must submit documentation of such destruction to the County Commission and the State Archives and should notify any active genealogical societies and any active historical located in the county before destruction.

PUBLIC LIBRARIES GENERAL RETENTION FINANCIAL SCHEDULE (LIGRFIN)

Approved by the Indiana Commission on Public
Records Oversight Committee on
on December 17, 1997

Signed: _____
F. Gerald Handfield Jr.
Director, ICPR
Indiana State Archivist

Adopted by the _____ County
Commission on Public Records on _____

Signed _____
Chairperson: _____
Printed _____
Name: _____

Signed Secretary: _____
Printed Name: _____

***Any records not listed can be destroyed only with permission of the COUNTY COMMISSION ON
PUBLIC RECORDS and the STATE ARCHIVES.***

TITLE/DESCRIPTION	RETENTION PERIOD
LIGRFIN 1. RECEIPTS/QUIETUS General Form: Form 352 (R 1997) General Receipt	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIGRFIN 2. VOUCHERS/CLAIMS 2.1 Library Form: Form 4 (R 1984) Accounts Payable Voucher 2.2 General Forms: Form 98 (R 1967) Purchase Order Form 99 (R 1995) Publisher's Claim Form 101 (R 1955) Mileage Claim Form 354 (R 1966) General Claim	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIGRFIN 3. CANCELLED CHECKS/WARRANTS 3.1 Library Form: Form 2 (R 1981) Warrant 3.2 General Forms: Form 353 (1966) General Warrant Form 356 (1967) General Check Form 357 (1967) General Payroll Warrant	DESTROY after six (6) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIGRFIN 4. CHECK REGISTER/WARRANT	DESTROY after six (6) calendar years and after

REGISTER General Form: Form 364 (R 1997)Accounts Payable Voucher Register	receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
Any records not listed can be destroyed only with permission of the COUNTY COMMISSION ON PUBLIC RECORDS and the STATE ARCHIVES.	
LIGRFIN 5. TRANSMITTALS	DESTROY after six (6) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIGRFIN 6. BANK STATEMENTS/DEPOSIT TICKETS	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIGRFIN 7. BANK RECONCILIATIONS AND REPORTS	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS and satisfaction of unsettled charges.
LIGRFIN 8. FEE AND CASH BOOK Library Form: Form 3 (R 1984) Daily Record of Desk Collections	DESTROY after six (6) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
Any records not listed can be destroyed only with permission of the COUNTY COMMISSION ON PUBLIC RECORDS and the STATE ARCHIVES.	
LIGRFIN 9. PAYROLL RECORDS General Forms: Form 99A (R 1985)Employee's Service Record Form 99B (R 1993) Employee's Earnings Record	PERMANENT.
LIGRFIN 10. PAYROLL VOUCHERS General Forms: Form 99 (R 1993)Payroll Voucher Form 99C (1985) Employee's Weekly Earnings Record	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report Schedule and satisfaction of unsettled charges.
LIGRFIN 11. TIME CARDS	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
LIGRFIN 12. RECEIPT REGISTER General Form: Form 370 (1997)	DESTROY after four (4) calendar years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
Any records not listed can be destroyed only with permission of the COUNTY COMMISSION ON PUBLIC RECORDS and the STATE ARCHIVES.	

LIGRFIN 13. INSURANCE General Form: Form 351 (1964) Register of Insurance	PERMANENT.
LIGRFIN 14. LEDGERS 14.1 Library Form: Form 1, 1A, 1B, and 1C (R 1982) Library Financial and Appropriation Ledger 14.2 General Form: Form 369 (1996) General Fixed Asset Account Group Ledger	PERMANENT.
LIGRFIN 15. INVESTMENTS General Form: Form 350 (1964) Register of Investments	PERMANENT.
LIGRFIN 16. STATE BOARD OF ACCOUNTS	PERMANENT. RETAIN in AUDIT REPORTS office or TRANSFER, after twelve (12) calendar years to the COUNTY ARCHIVES or the STATE ARCHIVES, COMMISSION ON PUBLIC RECORDS.
Any records not listed can be destroyed only with permission of the COUNTY COMMISSION ON PUBLIC RECORDS and the STATE ARCHIVES.	

[County Records Homepage](#) [E-mail County Records Management](#) [ICPR Homepage](#)

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**GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE FOR ALL STATE OF INDIANA
ADMINISTRATIVE AGENCIES**
State Form 5 (R4/8-03)

Commission on Public Records Signature of final approval			Date of final approval [6/18/2008]
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD

EXCEPTIONS: Exceptions to general record series may be granted by the Oversight Committee on Public Records only after submission of sufficient justification by the agency.

ELECTRONIC RECORDS: for general records that are created or submitted electronically, agencies may DELETE instead of DESTROY, and omit any RECORDS CENTER storage listed. However, records scheduled to be transferred to the STATE ARCHIVES must still be submitted as scheduled. Also, please see ICPR Policy 06-01 for information on scanning/imaging of records with a retention period of 10 years or less.

ADMINISTRATIVE RECORDS			
1	GRADM-1	MINUTES Official minutes of any state agency, board, commission, or of any division. THIS IS A CRITICAL RECORD. Retention based on IC 5-15-5.1-5(a)(9), and IC 5-15-5.1-12.	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, five (5) years after the end of the calendar year of the meeting. The COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, should MICROFILM according to 60 IAC 2 as soon as possible after receipt. MAINTAIN original archival negative in the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION vault PERMANENTLY. MAINTAIN a diazo duplicate roll for reference use in the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION. If MICROFILMED, DESTROY hard-copy records at the discretion of the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION.
2	GRADM-2	BOARD OR COMMISSION MEETING TAPES For boards or commissions that record their meetings using magnetic audio tapes. These tapes are used to complete the minutes of the meetings.	ERASE or DESTROY after official minutes taken from them are approved.
3	GRADM-3	POLICY FILES-APPOINTING AUTHORITIES, DEPUTIES, AND DIVISION DIRECTORS These office files document substantive actions of administrative agency appointing authorities, deputy directors, and division directors. These records constitute the official record of an agency's performance of its functions and the formation of policy and program initiatives. This series may include various types of records such as correspondence, memos, and reports concerning agency policy and procedures, organization, program development and reviews. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4(b)(6).	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, after three (3) calendar years; for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles.
4	GRADM-4	GENERAL FILES These include, but are not limited to, memos and letters from the following categories: (a) Staff response to routine public inquiries, (b) General information concerning an administrative agency's programs, products and/or services, (c) Any other non-policy related file.	DESTROY after three (3) calendar years.
5	GRADM-5	BUDGET WORKING PAPERS Deliberative papers related to budget formulation process for a state agency. These records may be examined by authorized staff of the State Budget Agency engaged in preparing the budget report [see IC 4-12-1-8(a)]. These records are retained by a state administrative agency and are not the records maintained by the State Budget Agency. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4(b)(6).	TRANSFER to the RECORDS CENTER two (2) years after the end of the affected biennial budget. DESTROY after an additional six (6) fiscal years in the RECORDS CENTER. TOTAL RETENTION: Eight (8) fiscal years after the end of that biennial budget period.
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6	GRADM-6	<p>CODE AND RULE DRAFT WORKING PAPERS</p> <p>Includes records created by a state agency related to the legislature's review of proposed laws or adoption of administrative rule(s). Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4(b)(6).</p>	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles, two (2) years after passage, approval, or discontinuance of the proposal.
7	GRADM-7	<p>AS- SUBMITTED BUDGETS</p> <p>Includes new programs requested, justifications, and breakdown of money requested. Also may include back-up media for the electronic record copy of the As-Submitted Budget.</p> <p>Exception: The State Budget Agency's approved Records Retention and Disposition Schedule lists this record as series 90-177 and requires transfer to the Commission on Public Records, State Archives Division after four (4) years. That exception is applicable only to the State Budget Agency's copy of the record.</p>	TRANSFER to the RECORDS CENTER two (2) years after the end of the affected biennial budget. DESTROY after an additional six (6) fiscal years in the RECORDS CENTER. TOTAL RETENTION: Eight (8) fiscal years after the end of the biennial budget period.
8	GRADM-9	<p>DISASTER RECOVERY AND CONTINUITY PLANS</p> <p>The agency copy of all Disaster Recovery/Continuity Plans, including those for electronic systems, as well as supporting documentation used in the development of the plans.</p> <p>Disclosure of these records may be affected by IC 5-14-3-4 (b) (19).</p>	TRANSFER one copy of each Plan to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for permanent archival retention, upon its approval by the agency. DESTROY remaining agency copies when outdated or replaced. DESTROY supporting documentation three (3) years after current Plan is outdated or replaced.
ACCOUNTING RECORDS			
9	GRACC-1	<p>BASIC ACCOUNTING RECORDS-EXPENDITURES</p> <p>Budgetary records pertaining to lapsed (expired) appropriations and allotments: Request for Allotment, Advice of Allotment, Transfer Request, Budget Request Forms, Document Control Register, Other Supporting Budgetary Records</p> <p>Payroll records, not including Personnel Records: Payroll Change Sheet, Add-Move Form, Payroll Certificate, Payroll Reimbursement Forms, Other Supporting Payroll Records, Time Cards</p> <p>Expenditure Records for Completed Transactions: Purchase Order, including any corresponding Advice of Change, Requisition, Invoice Voucher and Receiving Report, Claim Voucher, Travel Voucher and Voucher Abstract, Motor Pool Records, Special Disbursing Officer Records, Other Supporting Expenditure Records, Requests for Supplies</p> <p>Request For Proposals - Contents confidential during the process of negotiation, IC 5-22-18-4. Register of proposals prepared and open for public inspection after the award of contracts, IC 5-22-18-4.</p> <p>Computer Printouts of Financial Activity, as applicable, Out of State Travel Requests, Fixed Asset Inventories</p> <p>Telephone Cost Allocation Listing received from the Division of Information Technology, Department of Administration, and any Long Distance Telephone Logs, State Form Number 6856 or its equivalent.</p> <p>Disclosure of these records may be affected by 26 USC 6103(n), 26 USC 7213(a) and 42 USC 405(c)(viii)(I, II, III and IV). Retention based on IC 34-13-1-1.</p>	<p>TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after ten (10) fiscal years.</p> <p>TOTAL RETENTION: Ten (10) fiscal years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>

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10	GRACC-2	<p>BASIC ACCOUNTING RECORDS- REVENUE RECORDS FOR COMPLETED TRANSACTIONS</p> <p>a. Receipt Forms and Cash Register Tapes b. Report of Collections/Receipts (Due Treasurer of State - SF 14311) c. Cash Book or Cash Journal d. Public Record Copy Request, State Form 1365 e. ID Bill, including corresponding transmittal f. Other Supporting Revenue Records</p> <p>Retention based on IC 34 -11-2-6.</p>	<p>TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY five (5) years after the end of the State Fiscal Year.</p>
11	GRACC-3	<p>CANCELLED CHECKS AND WARRANTS</p> <p>Retention based on IC 34-13-1-1.</p>	<p>If electronic copy exists, DESTROY hard copy after verification of electronic records for completeness and legibility -- both sides of each document must be present and legible in the electronic version.</p> <p>DESTROY/DELETE electronic records ten (10) years after the end of the State Fiscal Year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p> <p>If no electronic copy exists, TRANSFER hard copy to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY ten (10) years after the end of the State Fiscal Year.</p>
12	GRACC-4	<p>STATE BOARD OF ACCOUNTS AUDIT REPORTS</p> <p>Agency copies only. This series does not include the original records of the State Board of Accounts.</p>	<p>DESTROY two (2) years after receipt of the last Audit Report.</p>
13	GRACC-5	<p>CONTRACTS AND LEASES</p> <p>All contracts with vendors or other units of government to provide goods or services, including Broad Agency Announcements. Files also include working papers and similar attachments used by the agency in this process. This record series also applies to an administrative entity receiving revenue through a contract or lease. Retention based on IC 34-13-1-1.</p>	<p>TRANSFER to the RECORDS CENTER after expiration of the contract or agreement and receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY ten (10) years after expiration of the contract, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
14	GRACC-6	<p>BROAD AGENCY ANNOUNCEMENTS-REJECTED PROPOSALS</p> <p>Record consists of the purchase of professional, technical, scientific, artistic or other unique services. The purchase is by means of personal service contracts. The Broad Agency Announcement is normally used for personal service contracts in excess of the small purchase limit of \$25,000. The Broad Agency Announcement is not a Request for Proposal(s) and is not a Request for Information. Retention consistent with IC 34-11-2-6. Pursuant to IC 5-22-18-1, et seq.</p>	<p>TRANSFER to the RECORDS CENTER after submission of a rejection notification to the potential vendor and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after five (5) State Fiscal Years.</p> <p>TOTAL RETENTION: Five (5) State Fiscal Years after submission of a rejection notification to the potential vendor and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
PERSONNEL RECORDS			
15	GRPER-1	<p>EMPLOYEE ATTENDANCE REPORT AND SERVICE RECORD</p> <p>Series includes Employee Attendance Report, State Form 14304, or its substitute; and State Employee Service Record, State Form 34400. Disclosure of these records may be affected by 42 USC 405(c)(viii)(I,II,III and IV) and the discretion of a public agency per IC 5-14-3-4(b)(8). Retention based on IC 34-13-1-1.</p>	<p>TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY ten (10) years after the end of the State Fiscal Year.</p>

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16	GRPER-5	<p>PERSONNEL FILES</p> <p>A state agency's documentation of the employee's working career with the state of Indiana. Typical contents could include the Application for Employment, PERF forms, Request for Leave, Performance Appraisals, memos, correspondence, complaint/grievance records, miscellaneous notes, the Add, Rehire, Transfer, Change form from the Office of the Auditor of State, Record of HRMS Action, and/or public employee union information. Disclosure of these records may be subject to IC 5-14-3-4(b)(2)(3)(4) & (6), and IC 5-14-3-4(b)(8)</p>	<p>One (1) year after the employee leaves the state government agency or at the conclusion of any litigation, whichever is later, TRANSFER the following to the RECORDS CENTER, along with a contents-list for each box, at which time they will become the property of the STATE PERSONNEL DEPARTMENT:</p> <p>Personnel transaction forms, performance evaluations, job analysis questionnaires, employment applications, disciplinary notices, records relating to grievances or complaints, leave forms needed to verify PERF service credit, and training records.</p> <p>TRANSFER a copy of each contents-list directly to the STATE PERSONNEL DEPARTMENT.</p> <p>MAINTAIN a list of previous employees permanently within the agency, based on the information found in the inactive personnel folders, including employment dates, classification, and rehire eligibility status.</p> <p>DESTROY all remaining records from the inactive personnel folders at the agency, after weeding for items listed above. If inactive personnel records exist within an agency for which more than fifty (50) years have passed since employee termination, those records may be DESTROYED without transferring as described above.</p> <p>The STATE PERSONNEL DEPARTMENT will combine GRPER-5 records at the RECORDS CENTER with related records on each employee under Record Series 87-200 as soon as possible, and DESTROY any duplicate records.</p>
17	GRPER-6	<p>SECONDARY AGENCY PERSONNEL FOLDERS</p> <p>This record series applies to any personnel records created or maintained other than those in the personnel office of a State agency. Does not include Fact Files. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b)(8).</p>	<p>TRANSFER any original records (no other copy exists) to the employee's GRPER-5 personnel file when employee leaves the state government agency. DESTROY copies when outdated or replaced.</p> <p>DESTROY records that do not refer to specific employees three (3) years after they are outdated or replaced.</p>
18	GRPER-7	<p>FACT FILES</p> <p>Part of the performance appraisal system, the Fact File documents levels of an employee's performance. Contains any relevant job performance information which occurred during the performance appraisal review period and which supports the ratings. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b)(8).</p>	<p>TRANSFER any original records (no other copy exists) to the employee's GRPER-5 personnel file when employee leaves the state government agency. DESTROY copies when outdated or replaced.</p>
19	GRPER-8	<p>AFFIRMATIVE ACTION PLANS AND POLICY STATEMENTS</p> <p>Plans and statements required by IC 4-15-12-5. Does not include the records of the State Personnel Department. Retention based on 29 CFR 1602.30.</p>	<p>DESTROY three (3) calendar years after submission of a new plan to the State Personnel Department.</p>
20	GRPER-9	<p>REQUESTS FOR LEAVE</p> <p>Record consists of State Form 56 or its substitute. Retention partially based on IC 34-11-2-1 and IC 34-11-2-2.</p> <p>Exception: This Record Series does NOT apply to records relating to the Family and Medical Leave Act of 1993. Record Series GRPER-13 describes the retention requirements for such records.</p>	<p>DESTROY original two (2) calendar years after the end of the affected pay period and after final adjudication of any pending litigation. DESTROY any other agency copies after the end of the affected pay period.</p>
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21	GRPER-10	<p>EMPLOYMENT APPLICATIONS, SF 22477-NOT HIRED</p> <p>Series includes applications from persons seeking employment who are not hired. Series also contains vacancy notices, job information bulletins, unsolicited resumes, rejection correspondence, examination material, and other related materials.</p> <p>Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b)(8)(b). Retention based on IC 4-15-2-15 (b)(4).</p>	<p>TRANSFER to the RECORDS CENTER one (1) calendar year after the decision not to hire.</p> <p>DESTROY after an additional two (2) calendar years in the RECORDS CENTER. TOTAL RETENTION: Three (3) calendar years after the decision not to hire.</p>
22	GRPER-11	<p>EMPLOYEE MEDICAL RECORDS</p> <p>Typical record series could include SF 34401, Employer's Report of Injury, and/or SF 2118, Report of Attending Physician, or other medical information used to document work-related illnesses or injuries. Pursuant to United States Equal Opportunity Commission rules, this information "...shall be collected and maintained...in separate medical files..."</p> <p>Disclosure of these records may be affected by IC 5-14-3-4(a)(9) and the discretion of a public agency per IC 5-14-3-4(b)(8) and 29 CFR 1630.14(b)(1).</p>	<p>DESTROY three (3) calendar years after the employee leaves the state agency.</p>
23	GRPER-13	<p>FAMILY AND MEDICAL LEAVE ACT OF 1993 RECORDS</p> <p>Applications for Family and Medical Leave (State Form 48370 or its equivalent), and any information related to use of the Family and Medical Leave Act (FMLA) including:</p> <ul style="list-style-type: none"> (1) Basic payroll and identifying employee data (2) Dates/hours FMLA leave is taken by eligible employees (3) Notices of leave furnished by employee under FMLA (4) Notices given to employees as required under FMLA regulations (5) Descriptions of employee benefits and paid/unpaid leave policies and practices (6) Premium payments of employee benefits (7) Records of any dispute between employer and employee regarding designation of leave as FMLA leave <p>NOTE: Many of these records also fall under other record series in the GRACC and GRPER sections of the General Retention Schedule, with longer retention requirements. The retention period described under GRPER-13 is the MINIMUM retention, if no other record series apply.</p> <p>Disclosure of these records may be affected by 29 CFR 825.500(g). Retention based on 29 CFR 825.400(b).</p>	<p>TRANSFER all FMLA records that fall under another Record Series to the applicable series after three (3) calendar years.</p> <p>DESTROY any remaining FMLA records after three (3) calendar years.</p>
MEDICAL RECORDS			
24	GRMED-1	<p>PRESCRIPTIONS AND PROOF-OF-USE SHEETS</p> <p>Disclosure of these records may be affected by IC 25-26-13-15. Retention based on IC 25-26-13-25, Version b.</p>	<p>DESTROY two (2) calendar years after the year the prescription was originally filed in the pharmacy.</p>
25	GRMED-2	<p>EMPLOYEE HAZARDOUS EXPOSURE RECORDS</p> <p>Typical records could include employee exposure records and/or analyses using exposure or medical records. Disclosure of these records may be affected by IC 5-14-3-4(a)(9).</p> <p>Retention based on IC 22-3-7-9(f).</p>	<p>TRANSFER to the RECORDS CENTER after employee is separated from the state administrative agency. DESTROY after an additional thirty-five (35) calendar years in the RECORDS CENTER. TOTAL RETENTION: Thirty-five (35) calendar years after employee termination from the state administrative agency.</p>
PUBLICATIONS			
26	GRPUB-1	<p>AGENCY PUBLICATIONS AND ANNUAL REPORTS</p> <p>Includes publications issued by state agencies that are not solely for internal use. Consult IC 4-23-7.1-26 for the required number of documents needed for the INDIANA STATE LIBRARY.</p> <p>Retention based on IC 4-23-7.1-26.</p>	<p>TRANSFER the required copies to the INDIANA STATE LIBRARY. TRANSFER one (1) copy of each publication to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION. DESTROY remaining copies when outdated or replaced.</p>

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MISCELLANEOUS RECORDS			
27	GRMSC-1	MICROFILM DOCUMENTATION FILE "A formal written documentation file shall be created and retained for the life of the microfilm based upon an approved retention schedule...." (60 IAC 2-2-3). See 60 IAC 2 for required contents of the file.	TRANSFER copy of the documentation file to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION. DESTROY when or if the microfilm to which the file pertains is destroyed.
AGENCY COPIES OF RECORDS AND FORMS MANAGEMENT DOCUMENTS Note: this section applies only to the copies of these documents held by individual agencies, NOT the corresponding copies managed by the Commission on Public Records.			
28	GRFRM-1	STATE ADMINISTRATIVE AGENCY FORM FILE Administrative agency's file containing their State Forms, non-forms, and supporting documents. The Commission on Public Records, State Archives Division, retains their copy of the deleted State Form folders and their contents permanently.	DESTROY one (1) calendar year after the State Form or non-form has been deleted from the COMMISSION ON PUBLIC RECORDS, FORMS MANAGEMENT DIVISION State Form files.
29	GRREC-1	RECORDS RETENTION AND DISPOSITION SCHEDULE, SF 5 Contains a description of all records maintained by an agency, and specifies when and how an agency's records are to be disposed of.	DESTROY when replaced by a new schedule.
30	GRREC-2	RECORDS DESTRUCTION NOTIFICATIONS, SF 16 This three (3) part state form is used to document the destruction of records in accordance with the approved Records Retention and Disposition Schedule. Pursuant to IC 5-11-1-9(d), on every examination under that section, the State Board of Accounts shall make an inquiry as to... (2) whether the laws of the state and the requirements of the State Board of Accounts have been complied with. Retention based on IC 34-11-2-6.	DESTROY after five (5) fiscal years and receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
31	GRREC-3	RECORD TRANSMITTAL AND RECEIPT, SF 23628 Used to document the transfer of records to the State Records Center. Also used as a reference guide to retrieve records.	DESTROY after all records listed on the form have been destroyed.
32	GRREC-4	REQUEST FOR RECORD, SF 24019 Used by agencies to request records stored at the State Records Center.	DESTROY after the record or records are returned to the State Records Center.
33	GRREC-5	ACCESSION REGISTER, SF 29469, AND STATE ARCHIVES RECORD TRANSMITTAL AND RECEIPT, SF 48883 Accession Register is a listing of materials transferred by agencies to the Commission on Public Records, State Archives Division. Used as a reference guide for agencies needing to review documents retained by the Commission on Public Records, State Archives Division. Record Transmittal and Receipt is the receipt given at the time the transferred records are accepted in the State Archives.	DESTROY on the effective date of legislative sunset of the public agency.
VIDEO, FILM AND PHOTOGRAPHIC RECORDS Retention for all visual records partially based on National Archives and Records Administration General Records Schedule 21.			
STILL PHOTOGRAPHY			
34	GRPHO-1	PHOTOGRAPHS Typically consists of photographs of special events and activities of the agency, such as the Combined State Campaign, Interchange photos, general circulation or special purpose periodicals, intra-office news, or other still photographs.	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles one (1) calendar year after the date of the event or activity.
GRAPHIC ARTS			
35	GRAPH-1	TRANSPARENCIES	DESTROY one (1) calendar year after use.
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36	GRAPH-2	MISCELLANEOUS ARTWORK Drawings and artwork for handbills, flyers, posters, and other graphic art.	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles one (1) calendar year after final publication.
37	GRAPH-3	NEGATIVES, PAPER PRINTS AND OFFSET PHOTOGRAPHIC PLATES Typically consists of line and half-tone negatives, screen paper prints and the photographic plates used for photo-mechanical reproduction.	DESTROY when no longer needed for publication or reprinting.
38	GRAPH-4	COPIES OF GRAPHS AND CHARTS	DESTROY one (1) year after final production.
VIDEO RECORDINGS			
39	GRVID-1	PROGRAMS ACQUIRED FROM OUTSIDE SOURCES Personnel and staff training programs.	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles one (1) calendar year after completion of training.
40	GRVID-2	REHEARSAL OR PRACTICE TAPES	ERASE or DESTROY immediately.
41	GRVID-3	INTERNAL PERSONNEL AND ADMINISTRATIVE TRAINING PROGRAMS These may include "role-play" sessions, management and/or supervisory instruction.	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles one (1) calendar year after completion of the training programs.
42	GRVID-4	ROUTINE SURVEILLANCE RECORDINGS Disclosure of these records may be affected by IC 5-14-3-4(a)(1-3) and the discretion of a public agency per IC 5-14-3-4(b)(1) & (6). This record series and retention period does not apply to the criminal history records of the Indiana State Police, pursuant to IC 5-15-5.1-5(a)(4).	DESTROY after completion of the project or activity using the footage.
43	GRVID-5	SCIENTIFIC OR ENGINEERING RECORDINGS Disclosure of these records may be affected by IC 5-14-3-4(a)(4) & (9), and the discretion of a public agency per IC 5-14-3-4(b)(1) and (5).	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles two (2) calendar years after completion of the project or activity using the footage.
44	GRVID-6	MEETING AND AWARD PRESENTATIONS	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles one (1) calendar year after the meeting or presentation.
OTHER GENERAL RECORDS			
45	GRHIS-1	HISTORICAL DATA ON STATE BUILDINGS- AGENCY COPY Pursuant to IC 4-13-13-2, the Public Works Division of the Department of Administration shall retain a copy of the historical data and shall furnish a copy of the same to the agency or institution occupying or in charge of that building. See IC 4-13-13-1 for typical contents of the Historical Data.	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, after the destruction or removal of the building or structure.
46	GRLEG-1	AGENCY LEGAL FILES Sometimes called Litigation Files, this is the record of litigation with a state administrative agency. Disclosure of these records may be affected by IC 5-14-3-4(a)(1),(3) and (8), and the discretion of a public agency per IC 5-14-3-4(b)(2)(6)(10)(11) and (12). Retention consistent with IC 34-11-2-6 and IC 35-41-4-2(a).	TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION of the entire file; five (5) calendar years after final adjudication of the litigation.
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47	GRAAA-1	<p>ADMINISTRATIVE ORDERS AND PROCEDURES</p> <p>Pursuant to IC 4-21.5-1-1, et seq., minimum procedural rights are created and minimum procedural duties are imposed. In accordance with IC 4-21.5-3-32, agency final orders are available for inspection and copying under IC 5-14-3-1. To the extent required by IC 5-14-3 or any other law, identifying details shall be deleted. Orders after 06/30/1987 are required to be indexed and orders prior to that date may be indexed if a written request is received by the state agency (as defined by IC 4-21.5-2-4(a) and 4(b) thru IC 4-21.5-2-6(a) and 6(b)).</p> <p>Retention based on IC 34-11-2-7.</p>	<p>TRANSFER to the RECORDS CENTER two (2) calendar years after the final order is issued.</p> <p>TRANSFER to the COMMISSION ON PUBLIC RECORDS, STATE ARCHIVES DIVISION, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional four (4) years in the RECORDS CENTER.</p> <p>TOTAL RETENTION: Six (6) calendar years after the final order is issued.</p>
48	GRPOST-1	<p>MAIL AND PACKAGE DELIVERY RECORDS</p> <p>Retention based on US Postal Service Records Control Handbook.</p>	<p>DESTROY two (2) calendar years after the month of mailing.</p>
OSHA -OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION-RECORDS			
49	GROSH-1	<p>LOG OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300 (REVISED 01/2004)</p> <p>In accordance with 29 CFR 1904.0, et seq., every private and public employer with more than ten (10) employees must confidentially record every work-related death and work-related injury and illness meeting specific recording criteria in this federal rule. Electronic (computer) maintenance and retention is permitted. Any medical information attached or included with the OSHA form and record is also confidential and must be retained with the OSHA form and record for the same time period.</p> <p>Disclosure of these records may be affected by 29 CFR 1904.29 and IC 5-14-3-4(a)(3). Retention based on 29 CFR 1904.33.</p>	<p>DESTROY five (5) years after the end of the calendar year that the records cover.</p>
50	GROSH-2	<p>SUMMARY OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300A (REVISED 01/2004)</p> <p>All establishments covered by 29 CFR 1904 must complete this summary page. Retention based on 29 CFR 1904.33.</p>	<p>DESTROY five (5) years after the end of the calendar year that the records cover.</p>
51	GROSH-3	<p>INJURY AND ILLNESS INCIDENT REPORT, OSHA FORM 301</p> <p>This Injury and Illness Incident Report is completed when a recordable work-related injury or illness has occurred. Electronic, computer, maintenance and retention is permitted. Any medical information attached or included with the OSHA form and records is also confidential and is to be retained with the OSHA form and record for the same time period.</p> <p>Disclosure of these records may be affected by 29 CFR 1904.29 and IC 5-14-3-4(a)(3). Retention based on 29 CFR 1904.33.</p>	<p>DESTROY five (5) years after the end of the calendar year that the records cover.</p>
52	GROSH-4	<p>MATERIAL SAFETY DATA SHEETS (MSDS)</p> <p>These reports and data sheets are supplied by the manufacturer of hazardous chemicals and submitted to businesses and other organizations receiving and using the substances. One (1) report or MSDS is submitted for each chemical in accordance with federal OSHA requirements. General information, ingredients, physical data, fire and explosion hazard data and other precautions are listed to inform and protect individuals who use or are exposed to these substances and chemicals.</p> <p>Disclosure of these records may be affected by 29 CFR 1910.1020(f)(1) and (f)(2), and IC 5-14-3-4(a)(4). Retention based on 29 CFR 1910.1020(d)(i)(ii)(B).</p>	<p>DESTROY thirty (30) years after the year of conclusion of the worker's employment.</p>

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